

12-04-01

Box Sea -

Please type a plus sign (+) inside this box Approved for use through 10/31/2002. OMB 0651-0032 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	10775-36246
First Inventor	John A. Copeland, III
Title	Flow-Based Detection of Network Intrusions
Express Mail Label No.	EL617580535US

10/000396
11/30/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.
See 37 CFR 1.27.
- ☒ Specification [Total Pages 38]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 9]
- Oath or Declaration [Total Pages]
 - ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

- ☒ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - ☐ Computer Readable Form (CRF)
 - Specification Sequence Listing on:
 - ☐ CD-ROM or CD-R (2 copies); or
 - ☐ paper
 - ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Transmittal of Computer Program Listing or CD

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information Examiner _____ of prior application No. _____
Group Art Unit: _____
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)	or	<input type="checkbox"/> Correspondence address below
Name	John R. Harris		
	Morris, Manning & Martin, LLP		
Address	1600 Atlanta Financial Center, 3343 Peachtree Rd. NE		
City	Atlanta,	State	GA
		Zip Code	30326
Country	US	Telephone	404-504-7720
		Fax	404-36595

Name (Print/Type)	John Harris	Registration No. (Attorney/Agent)	30,388
Signature		Date	11/30/01

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL
for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	
Filing Date	November 30, 2001
First Named Inventor	John A. Copeland, III
Examiner Name	
Group Art Unit	
Attorney Docket No.	10775-36246

TOTAL AMOUNT OF PAYMENT (\$) 536

METHOD OF PAYMENT

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	
Deposit Account Name	

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:**

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$) 370

2. EXTRA CLAIM FEES

Total Claims		Extra Claims		Fee from below	Fee Paid
Independent	Multiple	20**	3**		
20	6	0	3	42	126
					0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) 126

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40

SUBMITTED BY

Name (Print/Type)	John Harris	Registration No. (Attorney/Agent)	30,388	Telephone	404-504-7720
Signature	<i>John R. Harris</i>			Date	November 30, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John A. Copeland, III) Group No.:
Serial No.: TBA) Examiner:
Filed: November 30, 2001)
Title: FLOW-BASED DETECTION OF)
NETWORK INTRUSIONS)

TRANSMITTAL OF COMPUTER PROGRAM LISTING ON CD

Commissioner for Patents and Trademarks
P.O. Box 2327
BOX NEW PATENT APPLICATION
Arlington, VA 22202

Sir/Madam:

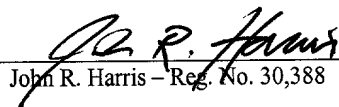
Pursuant to 37 C.F.R. § 1.52(a) the Applicant hereby submits herewith as a part of the above-identified patent application filing two (2) copies of one (1) compact disk (CD-R) entitled "Lancope Code.txt Computer Listing," each in conformance with the International Standards Organization (ISO) 9660 Standard, with the contents in compliance with the American Standard Code for Information Exchange (ASCII), enclosed in a hard compact case within an unsealed padded and protected mailing envelope, labeled as "Copy 1" and "Copy 2", accompanied by this transmittal letter, as required by said Rule.

In accordance with 37 C.F.R. § 1.52(e)(3)(ii), the operating system compatibility for the files contained herein are in the Microsoft Windows NT Operating System, and include the following ASCII text file contained on the compact disk, including their names, size in bytes, and dates of creation, as follows:

DATE OF CREATION	SIZE IN BYTES	FILE NAME
11/30/01	154,450	LANcope Code.txt

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify under 37 C.F.R. § 1.10 that this correspondence is being deposited with the United States Postal Service with sufficient postage for Express Mail, Mailing No. EL617580535US in an envelope addressed to: Assistant Commissioner of Patents & Trademarks, BOX 2327, NEW PATENT APPLICATION, Arlington, VA 22202 on November 30, 2001.


John R. Harris - Reg. No. 30,388

Transmittal of Computer Program Listing on CD
Inventor: John A. Copeland, III
Filed: November 30, 2001
Page 2

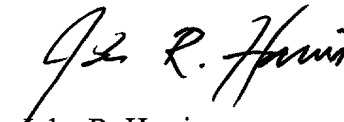
Pursuant to 37 C.F.R. § 1.52(e)(4), Applicant hereby states that the two compact disks identified as "Copy 1" and "Copy 2" are identical.

In accordance with 37 C.F.R. § 1.52(e)(6), each disk "Copy 1" and "Copy 2" is labeled with information indicating the name of the inventor, title of the invention, Applicant's docket number, the creation date of the compact disk (November 30, 2001), and an indication whether such copy is "Copy 1" or "Copy 2".

MORRIS, MANNING & MARTIN, LLP
1600 Atlanta Financial Center
3343 Peachtree Road, NE
Atlanta, GA 30326
(404) 504-7720
(404) 364-4578 - fax
jrh@mmlaw.com

Respectfully submitted,

MORRIS, MANNING & MARTIN, LLP


John R. Harris
Reg. No. 30,388